

From the INTERNATIONA	L BUREAL
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### **PCT**

#### **NOTIFICATION OF ELECTION**

(PCT Rule 61.2)

Assistant Commissioner for Patents United States Patent and Trademark Office

Box PCT Washington, D.C.20231 ETATS-UNIS D'AMERIQUE

Date of mailing (day/month/year)
23 October 2000 (23.10.00)
in its

in its capacity as elected Office

International application No. PCT/FI00/00075

International filing date (day/month/year) 03 February 2000 (03.02.00) Priority date (day/month/year)

Applicant's or agent's file reference

10 February 1999 (10.02.99)

**Applicant** 

PIETIKÄINEN, Panu

1.	The designated Office is hereby notified of its election made:
	X in the demand filed with the International Preliminary Examining Authority on:
	01 September 2000 (01.09.00)
	in a notice effecting later election filed with the International Bureau on:
2.	The election X was
	was not
	made before the expiration of 19 months from the priority date or, where Rule 32 applies, within the time limit under Rule 32.2(b).

The International Bureau of WIPO 34, chemin des Colombettes 1211 Geneva 20, Switzerland Authorized officer

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## PATENT COOPERATION TREATY

(PCT Article 36 and Rule 70)

## PCT



INTERNATIONAL PRELIMINARY EXAMINATION REPORT

14

Applicant's or a	gent's file reference			
	gente ille reletation	FOR FURTHER ACTION		cation of Transmittal of International y Examination Report (Form PCT/IPEA/416)
International ap	plication No.	International filing date (day/mor	nth/year)	Priority date (day/month/year)
PCT/FI00/00	0075	03/02/2000		10/02/1999
H04L29/06	tent Classification (IPC) or n	ational classification and IPC		
Applicant	IDE NETWORKS			
INTRASECU	JRE NETWORKS			
This inter and is tra	national preliminary exam nsmitted to the applicant	nination report has been preparaccording to Article 36.	ed by this Inte	ernational Preliminary Examining Authority
2. This REP	ORT consists of a total o	f 5 sheets, including this cover	sheet.	
been	amended and are the ba	ed by ANNEXES, i.e. sheets of sists for this report and/or sheets 07 of the Administrative Instruc	containing re	n, claims and/or drawings which have ctifications made before this Authority to PCT).
These an	nexes consist of a total o	f [18] sheets.		
	-	14		
3. This repor	t contains indications rel	ating to the following items:		
ı 🗵	Basis of the report			
11 🗆	Priority			
III 🗆		ppinion with regard to novelty, ir	ventive step	and industrial applicability
	Lack of unity of inventi			
v 🛭	Reasoned statement u	nder Article 35(2) with regard to ons suporting such statement	novelty, inve	ntive step or industrial applicability;
VI 🗆				
VII 🗆	Certain defects in the i			
VIII 🗆		n the international application		
Date of submissi	on of the demand	Date of	completion of t	this report
01/09/2000		12.06.2	001	
preliminary exam	g address of the international ining authority: opean Patent Office	J Authori	zed officer	STATE OF STA

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## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/FI00/00075

l. Basis o	f the report
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•	an	e receiving Office in	response to an invitation to this report since they d	under Article 14 are	referred to in this	report as "originally filed"  6 and 70.17)):
	1-1	0	as received on	22/02/2001	with letter of	19/02/2001
	Cla	aims, No.:				
	1-1	0	as received on	22/02/2001	with letter of	19/02/2001
	Dra	awings, sheets:				
	1/2	,2/2	as received on	22/02/2001	with letter of	19/02/2001
2.	Wit	h regard to the <b>lan</b> g guage in which the	guage, all the elements minternation v	narked above were a was filed, unless othe	vailable or furnish erwise indicated u	ed to this Authority in the nder this item.
	The	ese elements were	available or furnished to t	his Authority in the fo	ollowing language:	, which is:
		the language of a	translation furnished for t	the purposes of the in	nternational searc	h (under Rule 23.1(b)).
			ublication of the internatio			
		the language of a 55.2 and/or 55.3).	translation furnished for t	he purposes of inter	national preliminar	y examination (under Rule
3.	Wit inte	h regard to any <b>nuc</b> rnational preliminar	eleotide and/or amino ad ry examination was carrie	cid sequence disclosed out on the basis of	sed in the internati the sequence list	ional application, the ing:
		contained in the in	ternational application in	written form.		
		filed together with	the international applicati	ion in computer read	able form.	•
		furnished subsequ	ently to this Authority in v	written form.		
		furnished subsequ	ently to this Authority in o	computer readable fo	orm.	
			t the subsequently furnisl pplication as filed has be		e listing does not g	go beyond the disclosure in
		The statement tha listing has been fu	t the information recorded rnished.	d in computer readab	ole form is identica	I to the written sequence
4.	The	amendments have	resulted in the cancellati	ion of:		
		the description,	pages:			
		the claims,	Nos.:			

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

International application No. PCT/FI00/00075

		the drawings,	sheets:		
5.	5. This report has been established as if (some of) the amendments had not been made, since they have considered to go beyond the disclosure as filed (Rule 70.2(c)):				
		(Any replacement sho report.)	eet contai	ning such	n amendments must be referred to under item 1 and annexed to this
6.	Add	litional observations, if	necessar	y:	
V.	Rea cita	soned statement und tions and explanation	der Artick ns suppo	e 35(2) w orting suc	rith regard to novelty, inventive step or industrial applicability;
1.	Stat	ement			
	Nov	elty (N)	Yes: No:	Claims Claims	1-10
	Inve	ntive step (IS)	Yes: No:	Claims Claims	1-10
	Indu	strial applicability (IA)	Yes: No:	Claims Claims	1-10

2. Citations and explanations see separate sheet

### **EXAMINATION REPORT - SEPARATE SHEET**

Reference is made to the following documents:

D1: GB-A-2317792 D2: US-A-5699513 D3: US-A-5826029 D4: EP-A2-0858201

The following document was not cited in the international search report.

D5: WO-A2-9700471

#### Re Item V

Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

The present application relates to a data communication method for sending a message on a computer network from a first computer system to at least one other computer system through a firewall.

The first computer system belongs to an internal network and is protected by a firewall.

Messages that are sent from the internal network to at least one other computer system go through this firewall.

First a request with data for a new connection to be opened will be sent from the first computer system to at least other computer system for a message to be sent between the computer systems. Upon approval of the connection by the firewall, the firewall sends information back to the first computer system about the necessary modifications to be made (IP protocol, TCP port data), so that the message can pass through the firewall to the other network.

The prior art as represented by the documents cited above discloses several network scenarios with different firewall architectures.

The closest prior art appears to be D5, which describes a method for a message flow into and out of a network, which is protected by a firewall, in accordance with the rules of a rule base.

The method in D2 differs however from the claimed method in that all modifications are made by the firewall itself (encryption of messages, etc.).

The idea of the application is that a part of the firewall functionality has been given to another computer function and is carried out in the first computer system. If the message is protected, the firewall and the first computer system transfers necessary information so that the firewall would be able to pass the protected messages. The application provides a safer method for sending protected messages through a firewall, because the protected messages can be sent through a firewall without delivering information about the parameters outside the local network to the firewall.

Additionally the method of the application decreases the work to be done by the firewall computer compared with previously known methods.

However, all firewalls of the prior art (D1-D5) need extensive equipment if the traffic amount through the firewall is high, because all the messages are identified and protected by the firewall itself. The drawback with such methods is decreased security for the local network as secret information is delivered outside the local network.

The subject-matter of the independent method claim 1 cannot be derived by combining D5 with any other document.

Therefore, the method of this application is neither disclosed nor derivable from the prior art as represented by the documents cited above. An inventive step is therefore acknowledged.

The requirements of Article 33(3) PCT are therefore met for claims 1 to 10.

WO 00/48372

09/913213 PCT/FI00/00075

# DATA COMMUNICATION METHOD FOR SENDING A MESSAGE THROUGH A FIREWALL

#### 5 TECHNICAL FIELD

The invention is concerned with a data communication method for sending a message on a computer network from a first computer system to at least one other computer system through a firewall. The method can be used for sending protected messages with various kinds of protection methods, computer networks and network protocols and is expected to be very useful for instance for sending secret messages.

#### 15 DESCRIPTION OF RELATED ART

A computer network is formed when two or more computers are connected to each other. Local area networks (or internal networks) may be formed of the computers within a company, while wide area networks may be extended over bigger areas, such as many towns and even countries. The networks may be connected via cables, fibers and/or radio links.

An example of a global network is the Internet. This worldwide network can be used for communication, delivering and searching for information.

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If an internal system for electronic post is installed, everyone connected to the local network can send messages to each other. The local network can be connected to another network, which can be an external network, such as Internet, and so electronic mail can be sent to the whole world to everyone connected to the external network. Internet is the most common network for data communication, by for example E-mail.

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The fact that several local networks can be connected to other networks, Internet in particular, sets up requirements for the security and the equipment therefor.

There are different systems for the improving of the security. It is important that data within an internal network is protected so that only right users can change and read it. The users usually identify themselves with a user name and a password. Also other security details exist. Other security problems are network errors and work stops. With increasing complexity, advanced security systems become important.

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The popularity of Internet can be seen on the fact that new network products and services are developed all the time. These products are developed in accordance with new Internet standards and are applied to the protocols used in transfers on Internet.

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A firewall is a security system to protect a network against infringement from unauthorized users in other networks, such as Internet. A firewall can hinder computers from communicating directly with other networks, such as external networks, and vice versa. Instead, all communication is sent through the firewall placed outside the internal network. The firewall decides if it is safe to let messages and files pass between the external and the internal network on the basis of the addresses of the message, that can be in form of data packets, and different parameters. The firewall thus controls the communication between the internal and external network and modifies the data packets of for example TCP/IP based Internet (with respect to the TCP/IP protocol, see the next page). Usually, a firewall translates network addresses and other data defining the communication so that the internal address and the internal parameters are changed to an external address and external parameters. This means that for instance IP addresses used in an internal or local network are hidden from outside users. A packet coming from an external network to an internal network is modified back by the firewall.

The firewall can be formed in many different ways and is usually designed individually from case to case in accordance with the actual needs of the network. If the amount of traffic through the firewall is very high, quite extensive hardware for the firewall computer is needed.

Another method of increasing the security is by means of protection of the messages to be sent by for instance tunneling in virtual networks. In virtual networks several local and global networks use Internet to be connected to each other. By tunneling, data is transferred between two networks via a third network, such as Internet. In this technique, a given kind of data packets of a given protocol is encapsulated in packets of another protocol. Packet mode is a transfer method that can be used in virtual connections. In this technique data is sent in small "packets" with an address and a sender, so that several persons can use the connection simultaneously. The other protocol is usually TCP/IP, when the transfers go through Internet. The own protocols are packed in the TCP/IP packages that are sent via Internet.

The data communication between computers is carried out according to given rules which are called protocols TCP/IP is one such protocol and is an abbreviation for Transmission Control Protocol/Internet Protocol. Standards for TCP/IP are well documented in so called RFC (Request for comments) documents. The IP protocol takes care of the data packets and is responsible for that the packets find right addresses. The data packets are addressed by means of internet addresses and go from computer to computer until the right destination is reached. Communication with IP is connectionless as no fixed connection exist between communicating computers. The message is going forward step by step. The TCP protocol takes care of the transferring of messages between two computers by making a virtual connection between them without any physical connection. The TCP is the transport protocol that is responsible for the connection itself between sender and receiver. Also other standards than TCP/IP can be used in Internet.

The packets go through the "tunnel" maintained by Internet to the receiver, where the packets of different protocols are separated from each other and return to the original form. The authorization of the receiver can be controlled in different ways. The authorization control can be carried out in two steps: authentication and authorization. Authentication is carried out to control the identity of the user, while the authorization defines what the user is authorized to do.

The virtual networks give a high security. The secret information has an own channel on Internet as a result of different methods of authentication, encryption and/or encapsulation.

The security of Internet is not sufficient for all types of transfers. There are however ways to protect e-mail and other messages sent through internet from others. Especially high security can be achieved by encryption.

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Encryption means that messages are changed before sending so that they cannot be read before decryption with a special key and usually also by confirming that the right person sent the message (authentication). There are a big variety of encryption methods of the above kind.

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In many protection methods all connections have different parameters. The function wherein the real protection is made is called transformation. In the transformation function the packet is changed in accordance with given parameters depending on the actual protection used.

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One problem with firewalls is the need of extensive equipment for the firewall computer if the traffic amount of traffic through the firewall is high.

Another problem with firewalls is that if protection methods are used and the network is protected with a firewall, the firewall cannot identify the messages to be sent and will therefore not let them pass.

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In existing methods, the protection function or the parameters for the protection are given to the firewall so that the firewall can identify or protect the message and the message can then be sent through the firewall. The drawback with such methods is decreased security for the local network as secret information is delivered outside the local network.

US patent 0715668 is mentioned as such prior art. The patent is about secure transfer of information between firewalls over an unprotected network. Internet protocol security and IPSec messages are handled in the firewall without assuming that encrypted messages has access to all services by decrypting the message and controlling the access.

Another such method is described in US patent 0586231, wherein a firewall computer is allowed to provide virtual tunnel records and secret keys.

In the European patent application EP 0 858 201 an electronic data transfer system transmits a message between the first computer system, arranged within a firewall, and a second computer system. Messages that are not suitable for transmission through a firewall are translated in a format that is appropriate for transmission across the firewall.

#### THE OBJECT OF THE INVENTION

An object of the invention is a method of sending messages that decreases the work to be done by the firewall computer compared with previously known methods.

The second object of the invention is a safer method of sending protected messages through a firewall.

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More in detail, the second object of the invention is a method wherein protected messages can be sent through a firewall without delivering information about the parameters of the protection outside the local network to the firewall.

#### **DESCRIPTION OF THE INVENTION**

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In the method of the invention a message is sent on a computer network from a first computer system to at least one other computer system through a firewall. In step a), a request with data for a new connection between the first computer system and at least one other computer system is sent from the first computer system to the firewall. In step b), up on approval of the message, information about the necessary modifications to be made in a message that is sent via the requested connection through the firewall is sent from the firewall to the first computer system. In step c), the protected message to be sent is modified in the first computer system in accordance with the information sent from the firewall. In step d), which is optional and can be carried out before step c) or after step c), identification data of the connection for the message to be sent between said computer systems is sent to the firewall so that the message can be identified by the firewall to be able to pass the same. In step e), the protected message is then sent from the first computer system to the at least one other computer system through the firewall.

In an application of the method, the message to be sent is protected as the method is very suitable for sending protected messages. The message to be sent between said computer systems is in that case protected in step c) after it has been modified, whereby step d) is necessary and the data to be sent from the first computer system to the firewall includes the necessary information so that the connection for the message can be identified by the firewall.

The protection method can be some method known in the art. One suitable way to protect the message is to use methods defined in the standard RFC 1825 for

TCP/IP. This standard includes sub standards for for instance authentication methods and encryption methods, which can be used separately or simultaneously in a message sent with the method of the invention. RFC 1825 is a standard defining the IPSec security system standard, which consists of technology principles for the method used. IPSec, in turn, has sub standards for encryption, such as ESP, which is an abbreviation for encapsulated security protocol and AH, which is an abbreviation for a standard in IP for authentication. The authentication method might be MD5, SHA or other method known in the art. The encryption method might be some known method such as DES, Blowfish or the like.

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In step a), the request for a new communication sent from the first computer system to the firewall contains for instance data of the new connection to be opened between the first computer system and at least one other computer system in for example in form of address identification data and such other parameters. Typical other parameters are for instance IP Data ( the sender address, the receiver address), the type of protocol and TCP data: the sender port and the receiver port. The port defines the application for sending the data with e.g. TCP/IP, such as the program used, the web browser etc.

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In step b), typical parameters that the firewall modifies so that the messages can pass through are the above data, for instance IP Data ( the sender address, the receiver address), the type of protocol and TCP data: the sender port and the receiver port. The modifications might comprise all data of step a) or a part of them. All of the data to be modified might be known by the firewall even if not exactly included in step a).

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Messages can only go through a firewall if the firewall can identify them to be allowable messages. In step d), identification data for the protection used to protect the message to be sent between said computer systems is sent to the firewall so that the protected message can be identified by the firewall. The identification data is in such a form that the firewall can identify the actual connection but not the

actual parameters that have been used to protect the message. There exist many allowed connections with the same IP address but different other parameters. The actual protected message is sent in accordance with the parameters of one of the allowed connections and shall be identified by the firewall as being allowed and safe to deliver. If the message is not protected, step d) might be unnecessary in some embodiments, but is still advantageous to carry out in other embodiments, for instance if much traffic is going through the firewall, step d) might speed up the sending.

In the invention, the inventive idea is that a part of the firewall functionality has been given to another computer function and is carried out in the first computer system. If the message is protected, the firewall and the first computer system transfers necessary information so that the firewall would be able to pass the protected messages without having knowledge about the actual parameters used to protect the message to be sent.

In the following, the invention is described by means of some preferred embodiments of the invention. The details of the embodiments can vary within the scope of the claims.

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#### **BRIEF DESCRIPTION OF DRAWINGS**

Figure 1 is a flow sheet over the different steps of the method of invention

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Figure 2 is a schematic view of the computer network within which the data communication of the invention is carried out

### **DETAILED DESCRIPTION OF THE INVENTION**

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Figure 2 is a schematic view of a computer network within which the data communication of the invention can be carried out. A message shall be sent from a first computer system C1 to a second computer system C2.

In figure 2, the first computer system belongs to an internal network. The internal network is protected by a firewall, so that all messages to be sent and received through the firewall has to be identified and accepted by the firewall.

The firewall controls data of the connection via which the messages are sent and if the connection is accepted by the firewall, the messages can pass the firewall. Before the messages can pass the firewall, they are modified in the firewall in accordance with given parameters, such as address changes and protocol changes. The computer system C1 has a virtual connection to computer system C2, which means that messages to be sent from the first computer system C1 to the second computer system C2 are sent via one or more other networks, such as external networks, for instance Internet, after having passed the firewall before ending up at and received by the second computer system C2.

Figure 1 is a flow sheet over the different steps of an embodiment of the method of the invention. A message shall be sent on a computer network from the first computer system C1 to a second computer system C2 through a firewall, which is placed outside the internal or local network to which the first computer system C1 belongs. The method of the invention can be used both for the purpose to decrease the work to be carried out by the firewall and/or for sending protected messages. If the message to be sent shall be protected before sending in accordance with the second embodiment of the invention, it can not be sent through the firewall in the normal way, because the firewall is not able to control address identification data of protected messages or forward encrypted messages. Therefor, in accordance with step a) of the invention, an information message is sent from the first computer system C1 to the firewall containing data about a new connection between the first computer system C1 and a second computer system C2 system in form of for

instance address identification data, and possible other parameters for the message to be sent between said computer systems. If the firewall accepts this connection, the sending proceeds so that according to step b), information about necessary changes to be made in the message is sent from the firewall to the first computer system C1 so that the message can be sent through the firewall. The message that is intended to be protected with some protection method, that can be an authentication method and/or encryption method and shall be sent is according to step c) first modified by the first computer system C1 in accordance with the information sent from the firewall before protection. Before the protected message is sent, identification data of the protection method that have been used for protection of the message is according to point d) sent from the first computer system C1 to the firewall F so that the protected message can be identified but not read by the firewall to be able to be passed by the same. If the message is not protected, step d) is optional if the firewall used is able to identify the message. Step d) can also be carried out before step c). The protected message is then according to step e) sent from the first computer system C1 to the other computer system C2 through the firewall.

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#### CLAIMS

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1. Method for sending a message on a computer network from a first computer system to at least one other computer system through a firewall, c h a r a c t e r i z e d in the following steps:

- a) sending from the first computer system to the firewall, a request with data for a new connection between the first computer system and at least one other computer system for a message to be sent between said computer systems,
- b) up on approval of the connection by the firewall, sending from the firewall to the first computer system, information about the necessary modifications to be made in a message that is sent via the requested connection through the firewall,
- c) modifying, in the first computer system, the message to be sent in accordance with the information sent from the firewall,
- d) optionally, and before or after step c), sending from the first computer system to the firewall identification data of the connection for the message to be sent between said computer systems so that the connection for the message can be identified by the firewall and the message can pass the firewall,
- e) sending the message from the first computer system to the at least one other computer system through the firewall.
  - 2. Method of claim 1, c h a r a c t e r i z e d in that, the message to be sent between said computer systems is protected in step c) after it has been modified, whereby step d) is necessary and the data to be sent from the first computer system to the firewall includes the necessary information so that the connection for the message can be identified by the firewall.
  - 3. Method of claim 2, characterized in that the protection is made using the IP Sec system.

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- 4. Method of claim 2 or 3, c h a r a c t e r i z e d in that the message to be sent is authenticated.
- 5. Method of any of claims 2 4, c h a r a c t e r i z e d in that the message to be sent is encrypted in step c).
  - 6. Method of any of claims 1 5, c h a r a c t e r i z e d in that the information message in point a) contains data of the new connection to be opened between the first computer system and at least one other computer system in form of address identification data and possible other parameters.

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- 7. Method of claim 6, c h a r a c t e r i z e d in that the possible other parameters are data about the port and the protocol used for sending.
- 15 8. Method of any of claims 1 7, characterized in that in step b) the modifications include address identification data and/or the port and or the protocol used for sending.
- 9. Method of any of claim 1-7, c h a r a c t e r i z e d in that, the message is using the TCP/IP protocol.
  - 10. Method of any of claim 1 8, c h a r a c t e r i z e d in that, the message is sent via internet.

PCT/F100/00075



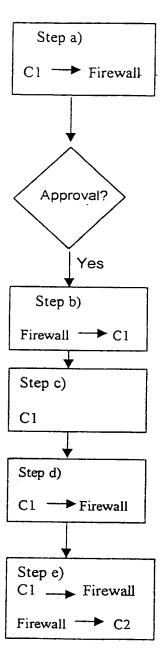


FIG. 1

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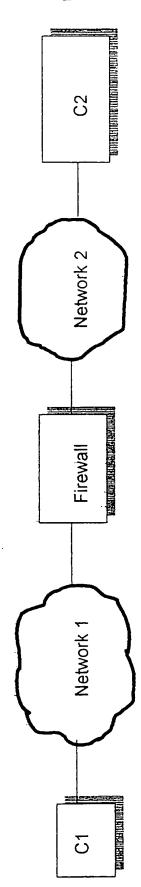


FIG. 2



International application No.

		PCT/FI 00/0	00075			
A. CLAS	SIFICATION OF SUBJECT MATTER					
IPC7:	H04L 29/06, G06F 17/60 to International Patent Classification (IPC) or to both	national classification and IPC				
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Minimum c	documentation searched (classification system followed	by classification symbols)				
<del> </del>	H04L, G06F					
Documenta	ation scarched other than minimum documentation to the	he extent that such documents are included i	in the fields searched			
SE,DK,	FI,NO classes as above					
Electronic d	lata base consulted during the international search (nam	ne of data base and, where practicable, scarc	h terms used)			
C. DOCL	JMENTS CONSIDERED TO BE RELEVANT					
Category*	Citation of document, with indication, where ar	opropriate, of the relevant passages	Relevant to claim No.			
X						
^	GB 2317792 A (SECURE COMPUTING 1 April 1998 (01.04.98), pa page 7, line 23 ~ line 25, abstract	ige 4. line 8 - line 18.	1-10			
х	US 5699513 A (FEIGEN ET AL), 16 (16.12.97), figure 3, claim	1-10				
	<del></del>					
X	US 5826029 A (GORE ET AL), 20 0 (20.10.98), column 1, line claim 1, abstract	ctober 1998 46 - column 2, line 26,	1-10			
	<del></del>					
X Furthe	er documents are listed in the continuation of Bo	x C. X See patent family annex	<u>.                                    </u>			
	categories of cited documents:	"I" later document published after the inte	ernational filing date or priority			
to be of	nt defining the general state of the art which is not considered particular relevance	date and not in conflict with the applic the principle or theory underlying the i	cation but cited to understand			
"L" documer	"E" erlier document but published on or after the international filing date "X" document of particular relevance: the c					
special reason (as specified)  "Y" document of particular relevance: the claimed invention of considered to involve an inventive step when the document of particular relevance in the document referring to an oral disclosure, use, exhibition or other						
"P" documen	means  Mocument published prior to the international filing date but later than the priority date claimed  combined with one or more other such documents, such combination being obvious to a person skilled in the art document member of the same patent family					
Date of the	Date of the actual completion of the international search  Date of mailing of the international search report					
	23 May 2000 0 6 -06- 2000					
	mailing address of the ISA/	Authorized officer				
	Patent Office S-102 42 STOCKHOLM	lan Cilfunalia vai				
	lo. +46 8 666 02 86	Jan Silfverling/mj Telephone No. + 46 8 782 25 00				

## INTERNATIONAL SEARCH REPORT

International application No. PCT/FI 00/00075

Category*	Citation of document, with inc	Relevant to claim No			
A	EP 0858201 A2 (SUN 1 12 August 1998 abstract	MICROSYSTEMS (12.08.98),	INC.), claim 1,		1-10
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### INTERNATIONAL SEARCH REPORT

Information on patent family members

International application No.

02/12/99

PCT/FI 00/00075

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
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